

LIBRARY SERVICES AND TECHNOLOGY ACT

Federal Fiscal Year 2007

APPLICATION INSTRUCTIONS AND INFORMATION

FOR

LIBRARY AUTOMATION SUBGRANT FOR ACADEMIC LIBRARIES

Commonwealth of Kentucky

Department for Libraries and Archives

LIBRARY SERVICES AND TECHNOLOGY ACT FEDERAL SUBGRANT PROGRAM GUIDELINES

To fulfill the requirements of the Library Services and Technology Act, the Kentucky Department for Libraries and Archives (KDLA) has developed a long range plan for the development, provision, and improvement of library service in the state. A strategy in implementing the plan is to extend and improve access to and provide for library resources, services and personnel to areas of the state in which library services are inadequate, and for children in urban and rural areas, the disadvantaged, and the disabled.

In an effort to achieve this goal, KDLA is inviting qualifying academic libraries to submit applications for subgrant funds for the program listed below.

Applicants are advised to read these guidelines carefully to ensure their application is acceptable and competitive. Applicants should make sure they abide by all requirements including the strict deadlines, as funds are limited. Deadlines for complete applications, with required signatures, assure all applicants will be treated fairly. Late or incomplete applications will not be considered. The deadline for submission of applications is listed on the application form and on page 2 of these guidelines.

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***Additional information specific to the subgrant may be attached as an addendum to these guidelines.**

Library Automation Subgrant for Academic Libraries

KDLA will offer 50% matching subgrants to selected libraries across the Commonwealth to assist them in automating their collections. The number of grants awarded will depend on the number and amount of grants requested. Grant awards will be limited to a maximum of \$40,000 for each individual library.

Successful libraries are required to make their holdings available on a state, national, and world level, through the conversion of their holdings records and the provision of an electronic copy of these records to KDLA for OCLC upload.

Additional information and requirements for this subgrant are attached as an addendum to the application.

Subgrant projects should be planned in advance, however contracts and obligations may not be made until the award announcement.

The original application with original signatures (**fax copies are not acceptable**) must be postmarked no later than **September 15, 2006**. The application should be sent to:

Donna Hedges, Division of Field Services
Kentucky Department for Libraries and Archives
P.O. Box 537, 300 Coffee Tree Road
Frankfort, Kentucky 40602-0537

ELIGIBILITY REQUIREMENTS

All Kentucky full service academic libraries associated with recognized institutions of higher education are eligible to apply. Middle school, high school, or elementary school libraries are not eligible.

Any questions regarding eligibility should be referred to Terry L. Manuel at Terry.Manuel@ky.gov or 502-564-8300 ext. 269.

COMPLETION OF APPLICATION

A proposal for subgrant programs must be made on the application form provided by the Kentucky Department for Libraries and Archives. **Altered forms will not be accepted.**

The application consists of six parts;

Part I – Identifying Information

Part II – Narrative

Part III – Budget

Part IV – Certification Regarding Debarment

Part V – Certification of Application

For the application to be considered, all parts must be completed in the order listed. Incomplete applications will not be considered. **All applications must be typed.** Applications must be postmarked no later than the deadline listed on page 2 of the Guidelines.

PART I – IDENTIFYING INFORMATION (PAGE 1)

Do not leave any area blank. Pay close attention to #11. The Project Summary should be a short and **specific description of your project**. An example is provided below.

This project will provide initial automation for our library. This will include all equipment and services necessary to complete the project, including bibliographic conversion and authority control. All equipment, software and training will be provided from a single vendor specializing in the automation of libraries. The end result will be a fully integrated computer system capable of accessing all of the library holdings both online and in person, and capable of performing all customary library circulation and technical functions.

PART II – NARRATIVE (PAGE 2)

Thoroughly address each of the **nine (9)** headings in the order listed. Please type the narrative on additional sheets of paper. **Number the pages consecutively so they can be cited on Part III---Budget.**

PART III – BUDGET (Page 3)

- Applicants should not make budgetary requests for items that are not necessary to accomplish the objectives of the project. If uncertain about an allowable expenditure or if assistance is needed in budget preparation, applicants should contact Laura Negron, LSTA Coordinator at laura.negron@ky.gov or 502- 564-8300, extension 304.
- On the budget sheet, round figures to the nearest dollar.
- The budget form should show the local match. Local match must be a cash match, no in-kind contributions are allowed in computing local match.
- Applicants are advised to make certain that all items in the budget are well justified by the narrative.
- Applications in excess of \$40,000 will not be considered.

Information for completing the budget sheet:

- ☐ **Equipment**—List each piece of equipment separately. Attach additional sheets if necessary. Equipment having an acquisition cost of \$500 or more per unit is subject to certain Federal and State requirements. All funds designated for equipment must be spent or encumbered during the first quarter of the project year (October—December). Applicants must have in effect at the time of the application, a control system that will insure adequate safeguards to prevent loss, damage, or theft of equipment and materials.
- ☐ **Printing**—Include reproduction of project materials and list specific items. This information may be included as an addendum to the budget sheet.
- ☐ **Services**—Be as specific as possible.
- ☐ **Software**—Be as specific as possible on items and numbers to be purchased. Give average prices. This information may be included as an addendum to the budget sheet.
- ☐ **Travel**—To compute automobile travel expenses necessary to the project, use the mileage rate in effect at the time of the application. Other travel expenses should be estimated as accurately as possible. All project travel must occur between October 1 and September 30 of the project year.
- ☐ **Postage** – List any anticipated postage expenses.
- ☐ **Other** – Be as specific as possible for any other expenses. These must be fully supported in the narrative.
- ☐ If there are questions about a proposed budget after KDLA receipt of an application or during the review process, a KDLA representative will contact the library project director. Additional written data may be requested by the review committee.

PART IV – CERTIFICATION REGARDING DEBARMENT (Page 4)

For the application to be complete, the **original signature of the Authorizing Official of the library** must be on the line marked authorized representative, along with the name and title of the authorized representative and signature date.

This Federally required certification, in part, requires confirmation that:

- (1) neither the Library nor the principals involved in the subgrant project are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in Federal financial assistance and non-financial assistance programs or activities by any Federal department or agency, and
- (2) neither the Library nor the principals involved in the subgrant project will knowingly do business with an individual, corporation, partnership, association, unit of government or legal entity that is debarred, suspended, declared ineligible, or voluntarily excluded from participation in Federal financial assistance and non-financial assistance programs or activities, unless authorized to do so by the Kentucky Department for Libraries and Archives.

To obtain copies of Presidential Executive Order 12549 and implementing regulations, and to check the "List of Parties Excluded from Federal Procurement and Non-Procurement Programs", contact Laura Negron, LSTA Coordinator, KDLA, at 502-564-8300 ext. 304 or laura.negron@ky.gov. If at any time the applicant learns that the Certification was erroneous when submitted or has become erroneous by reason of changed circumstances, immediate written notice must be provided to James A. Nelson, State Librarian and Commissioner, KDLA, P.O. Box 537, Frankfort, KY 40602-0537.

PART V – CERTIFICATION OF APPLICATION (Page 5)

For the Application to be complete, the original signature of the Authorizing Official(s) of the library must be affixed.

WHAT TO EXPECT AFTER THE PROPOSAL HAS BEEN SUBMITTED

PROPOSAL REVIEW PROCESS

All applications submitted by the deadline will be reviewed by KDLA applying the following criteria:

1. All eligibility requirements necessary to submit an application have been met.
2. The application was submitted according to KDLA requirements and guidelines, and contains appropriate signatures on all certifications.

Applications meeting all eligibility requirements and guidelines shall be submitted to a Review Committee appointed by the State Librarian. The committee will review all applications using KDLA guidelines and the attached evaluation criteria. (Appendix A)

In addition to the aforementioned criteria, the review committee will consider the potential for replication of the projects by other libraries. A factor in the determination of grant awards will be the performance on past state and/or federal funded grant projects, as measured by adherence to all contractual requirements.

After all applications have been reviewed, the Review Committee will forward its recommendations to the State Librarian.

APPROVAL OF PROPOSED PROJECTS

The State Librarian will consider the recommendations of the Review Committee and render a final decision. KDLA will notify all applicants by mail no later than 30 days after the application deadline of the action taken on their applications.

AWARD AND AGREEMENT BETWEEN KDLA AND THE APPROVED APPLICANT

A **mandatory** project information meeting will be held at KDLA in Frankfort for representatives of the libraries receiving subgrants. This meeting will familiarize the recipients with the requirements regarding the acceptance and use of funds. KDLA will inform recipients of the date and time of the meeting in their award letter. Applicants will receive mileage reimbursement for the trip to Frankfort based on the mileage rate in effect when the travel occurs. The rate is subject to change quarterly.

KDLA will prepare and execute agreements with the grant recipient. The agreements will reflect requirements regarding the acceptance and use of LSTA funds, obligations, payment schedules, project status and financial expenditure reports, the Final Subgrantee Project Report and Evaluation, and any audit requirements. The approved application will become part of the Agreement between KDLA and the recipient.

FUNDING

The awarding of LSTA funds will be subject to the appropriation of funds for the federal year, the release of the Federal allotment, KDLA approval of the applications, and execution of subgrant agreements.

Funds awarded for LSTA subgrants must be expended solely for the purpose of the project as written in the application. Funds not so expended, including those lost or diverted to other purposes, must be returned to KDLA. Any balance of funds advanced but not spent or obligated by the end of the federal year must be returned to KDLA.

Funds will not be allocated for continuing support of an approved and funded project if there is evidence after evaluation that any of the following exist:

- a) the subgrant recipient is not providing the service for which it is being assisted; or
- b) violations of the terms of the agreement between KDLA and the subgrant recipient.

If there is unsatisfactory performance of the conditions of the agreement and the agreement is terminated and canceled, the subgrant recipient will be required to return funds advanced under the agreement.

Funds will not be allowable for any new obligations made after the date of the agreement's expiration or termination.

PAYMENT OF FEDERAL AWARD

Funding will be provided according to a Payment Schedule determined at the time of execution of the agreement, and based on project time frames and **the release of Federal funds**. After the initial payment, subsequent payments will be contingent upon receipt and approval of all required reports, and appropriate expenditure or obligation of funds previously awarded under the project.

Recipients of Federal funds are cautioned that the time elapsing between receipt of funds and their disbursement shall be minimized.

PUBLICATIONS AND PRESENTATIONS

The award of an LSTA Subgrant is an achievement that should be shared with the community. Grantees are expected and encouraged to publicize projects in available and appropriate media outlets. Public relations releases concerning the project, or any publications or materials produced as a part of the subgrant project, must include the following statement: "This project is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act and administered by the Kentucky Department for Libraries and Archives." KDLA will provide additional resources to assist with compliance of this requirement. Copies of any publications or materials produced under the subgrant must be submitted to KDLA.

INTEREST OR INVESTMENT INCOME

Interest or investment income earned by the recipient under the subgrant program does not have to be refunded to KDLA, but does have to be reported on the Financial Expenditure Reports.

AMENDMENTS TO PROJECTS

Requests for approval to change the project, its budget or activities must be submitted in writing to the project monitor before any changes to the project can be made. If the changes are determined to be "amendments" to the LSTA State Plan Annual Program, they must be submitted to the State Librarian and Commissioner for acceptance. Changes are not allowable until the subgrant recipient receives written KDLA approval.

MONITORING PROCESS

KDLA will assign a monitor to the project immediately following the execution of agreements between KDLA and the subgrant recipient. The monitor will provide (but shall not be limited to) technical assistance, consultation, information and required forms, and assistance in evaluation of project performance.

PROJECT REPORTS AND REPORTING

The subgrant recipient will be required to submit scheduled project status and financial expenditure reports during the term of the project. The schedules for submission and copies of the forms will be provided at the time agreements are executed. **The Project Director is responsible for having these reports submitted in a timely manner.**

Although not part of the application process, applicants should be aware that the following assurances will be included as part of the contract for winning applicants.

ASSURANCE OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

Applicants are required to sign a non-discrimination clause prior to receiving any Federal loan, contract or grant. In signing the assurance applicants will agree to:

Comply with all Federal statutes relating to non-discrimination. These include but are not limited to Title VI of the Civil Rights Act of 1964 which prohibits discrimination on the basis of race, color or national origin.

Applicants must be willing to abide by KDLA's Title VI compliance plan or submit their own plan to KDLA. The KDLA project monitor can assist applicants in assuring their compliance. A copy of the KDLA plan will be made available upon request.

Applicants will be required to assure that they will not discriminate on the basis of race, religion, age, gender, national origin, or handicapping condition in providing space for public meetings or in the provision of services.

LOBBYING

Subgrantees are prohibited by federal law from using subgrant funds to pay costs associated with influencing elections, legislation, or the award of any federal funds.

DRUG FREE WORKPLACE

Subgrantees will make a good faith effort to maintain a drug-free workplace.

FEDERAL DEBT STATUS

Subgrantees will certify that to the best of their knowledge and belief the subgrant recipient is not delinquent in the repayment of any federal debt.

MAINTENANCE AND RETENTION OF PROJECT RECORDS

The subgrant recipient will be required to maintain financial and programmatic records for this project separate from records of other projects. Accounting records must be supported by such documentation as canceled checks, paid bills, and agreement and subgrant award documents.

SUBGRANT CLOSEOUT

All subgrants will be closed out as promptly as is feasible after expiration or termination of the project. **Within 30 days** of the conclusion or termination of the project, the subrecipient will refund to KDLA any unobligated balance of cash advanced. In addition, the subrecipient will submit all reports required by the terms of the agreement between KDLA and the subrecipient (with the exception of the final Financial Expenditure Report for projects required to have an audit and which final Financial Expenditure Report will be due after the audit has been accepted by KDLA and local payment for the audit has been made).

The closeout of a subgrant will not affect (1) the retention period for Federal or KDLA rights of access to subgrant records; (2) the sub-recipient's responsibility with respect to property acquired with subgrant funds or with respect to program income for which the subrecipient is accountable under the terms of the subgrant; or (3) audit by the Federal government.

KDLA will issue a final letter of closeout when it has been determined that all required work of the subgrant project and all administrative actions have been completed.

- ☐ After a proposal is funded, budgetary changes, such as transferring funds from one budget category to another, may be allowable, however, a request for change must be in writing and the grant recipient must await written approval from KDLA.

- ❑ Funds not spent at the end of the project year must be returned to KDLA. If it becomes obvious that all funds will not be expended, the KDLA project manager may require that the library project director amend the project and return the unneeded portion during the project year. **Libraries are not penalized in any way for returning unspent funds.**

Kentucky Department for Libraries and Archives
Library Automation for Academic Libraries Evaluation Criteria

CRITERIA	Possible Points
Creative and innovative ideas based on understanding of library and information needs of the specific patron group being addressed for subgrant program.	30
Clearly stated, measurable project activities which can be achieved within the project term and which are feasible using the resources available	30
Evaluation plan which will show impact and includes measurable, quantifiable and anecdotal outcomes	30
Clear identification and documentation of need	25
Sound project planning	20
Adequate numbers of qualified personnel to accomplish the objectives of the project	20
Well-organized and adequate budget to address the project activities.	20
Adequate plan to promote the project	20
Cooperation and coordination with other agencies/organizations if applicable	10
Realistic plan to continue project activities after completion of the project term	5
Clear description of the control system in effect if equipment is to be purchased	5
Favorable performance on past state and federal subgrants (information will be provided by KDLA staff based on spreadsheets and record keeping)	5
Application written in an understandable style	5
Total Points	225